



State of Nevada – Department Of Personnel

CLASS SPECIFICATION

<u>TITLE</u>	<u>GRADE</u>	<u>EEO-4</u>	<u>CODE</u>
SUPERVISORY COMPLIANCE INVESTIGATOR	34	B	11.354
COMPLIANCE INVESTIGATOR II	32	B	11.358
COMPLIANCE INVESTIGATOR I	28	B	11.359

SERIES CONCEPT

This class series encompass investigative positions that perform investigations regarding violations of state and/or federal laws, rules or regulations pertaining to a specific state program or regulatory area. The investigative process is initiated following a formal complaint or suspected violation utilizing standard investigative techniques.

Receives informal and formal complaints by phone or in writing. Complaints are reviewed and determinations made regarding possible program violations and jurisdiction under a specified program area. Gathers and analyzes background information and facts pertaining to the case.

Conducts interviews with complainants, witnesses, employers, state and local governmental agencies and other sources to obtain information regarding violations or noncompliance; develops leads and facts pertaining to case to substantiate violation.

Prepares required forms and/or notices and sends to appropriate parties regarding complaint and alleged violations. Responses are reviewed and discussed with complainant and respondent.

Gathers evidence, such as records, reports, bank statements, bills, check stubs, sales receipts, transaction verification, personnel files and historical data pertaining to the initial violation and to develop trends or patterns to support complaint. May conduct surveillance activities, and serve subpoenas to obtain evidence and expedite case.

Develops case files and maintains case logs and reports. Evidence is placed in case file along with chronological documentation regarding investigative steps taken and all contact made with complainant, respondent, witnesses and other sources. Information is utilized to develop final case report and may be used for further litigation.

Coordinates possible resolution of complaint on an informal basis by conducting meetings and discussions with contending parties addressing statutes or regulation violations, evidence gathered and steps to regain compliance and/or resolution of complaint. Final agreements can be negotiated and stipulated in writing. Cases are then monitored to ensure adherence to agreements.

Prepares investigative reports encompassing all facts pertaining to the case. The reports outline suspected violations, statements of facts, documentation of evidence, violations committed, statements obtained and the investigator's findings and conclusions, for review by a higher authority for final resolution, sanctions and/or criminal prosecution. May appear before the governing body or in a court of law to provide testimony.

Maintains logs and statistical reports regarding status of on-going cases, final disposition, field work performed, complaints received, and penalties imposed.

Conducts training programs regarding agency services, rules and regulations to employers, community groups and the general public to ensure compliance, understanding and awareness.

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SERIES CONCEPT (cont.)

May conduct general audits or inspections of business activities when appropriate on an as needed basis to ensure compliance with program rules and regulations on stipulated agreements.

DISTINGUISHING CHARACTERISTICS

Enforcement powers are limited to the specific program or regulatory area and involve informal resolution and/or recommendations for administrative sanctions or penalties which are imposed by a higher authority (such as a commission or board). Criminal violations are referred to the Attorney General or local District Attorney for investigation and/or prosecution. Investigators allocated to this series do not require P.O.S.T certification.

CLASS CONCEPTS

SUPERVISORY COMPLIANCE INVESTIGATOR

Under limited supervision of a Chief Compliance Investigator or Program Administrator, performs the full range of duties described in the series concept and in addition, acts as a first-line supervisor. This class is distinguished from lower level investigators by the level of supervision exercised over a staff of investigators in a regional or district office. The Supervisory Compliance Investigator is the first-line supervisor in the class series and conducts the more complex or difficult case assignments characterized by their sensitive or high profile nature and may involve multiple program violations requiring an extensive knowledge of program rules and regulations as well as state and federal laws and guidelines.

The Supervisory Compliance Investigator is distinguished from the Chief Compliance Investigator by the limited budget responsibility, authority to develop program policy and procedure, and extent of liaison activities with other State agencies, local law enforcement, the judicial system, and the business community.

The Supervisory Compliance Investigator reviews initial complaints and assigns cases to lower level investigators. Cases are monitored and direction is given to investigative staff regarding procedures and appropriate course of action. Final investigative reports are reviewed and checked for accuracy, clarity, format and to ensure policy and procedure is followed.

The Supervisory Compliance Investigator is further distinguished from lower level investigators by providing training to new investigators, preparing performance reviews, supervising and coordinating the investigative process and making final recommendation to the Chief or Program Administrator regarding investigative reports.

COMPLIANCE INVESTIGATOR II

This is the journey level investigator in the class series. Incumbents at this level receive general supervision and perform all duties described in the class series concept.

COMPLIANCE INVESTIGATOR I

This is the entry level investigator in the class series. Incumbents receive training in the duties described in the series concept. Employees in this class may progress semi-automatically into the journey level of investigator class upon successful completion of their probationary period and approval of the appointing authority.

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MINIMUM QUALIFICATIONS

SUPERVISORY COMPLIANCE INVESTIGATOR

EDUCATION AND EXPERIENCE:

- I
Bachelor's degree from an accredited college or university with major course work in criminal justice, police science, psychology, social work, business administration or closely related field and two years of investigative experience as an investigator in a specified program area where standard investigative techniques were utilized to make program compliance determinations, preparing detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Determinations are based on evidence collected, applying laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in a law enforcement, investigative, regulatory or comparable setting; OR
- II
High school graduation or equivalent (GED) and four years of investigative experience as outlined in option I; OR
- III
Two years as a Compliance Investigator II in State service; OR
- IV
An equivalent combination of education and experience in which the applicant has demonstrated possession of the entry level knowledge, skills and abilities.

Condition of Employment:

Pursuant to NRS 284.4066, some positions in this class have been identified as affecting public safety. Persons offered employment in this class, in these positions, must first submit to a pre-employment screening test for controlled substances.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES REQUIRED: (These may be acquired on the job and/or needed to perform the work assigned.)

Detailed knowledge of Nevada Revised Statutes, agency policies and procedures as well as federal laws or regulations that pertain to the specified program area. Knowledge of supervisory principles and practices as well as State Personnel Policy necessary to supervise subordinate personnel.

Ability to handle the most complex casework assignments which are of a sensitive or high profile nature. Ability to maintain good working relationships with other enforcement agencies, government officials, the judicial system, and the general public. Ability to provide in-service training to subordinate staff on investigative methods and court room procedures. Ability to prepare and implement policy and procedures when needed. Ability to motivate others to take appropriate action. Ability to think through the consequence of a decision prior to making it. Ability to provide direction to investigative staff on a wide variety of casework assignments and investigations. Ability to analyze investigative reports and methods used for determining findings to ensure compliance with state or federal guidelines.

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MINIMUM QUALIFICATIONS (cont.)

ENTRY KNOWLEDGE, SKILLS AND ABILITIES REQUIRED: (Applicants will be screened for possession of these through written, oral, performance or other evaluation procedures.)

Knowledge of civil law and related criminal law to enforce program regulations as well as state and federal laws. Thorough knowledge of the methods and practices of effective investigations and what constitutes legal evidence. Knowledge of where to go within the organization for needed information. Knowledge of record keeping practices to obtain and store needed investigative reports and documents.

Ability to gain the respect of others. Ability to make oral group presentations to provide information and explain agency policy, procedure and applicable laws. Ability to negotiate and formulate complaint resolution. Ability to explain methods and requirements for compliance of agency policy to staff, service providers, the public, legal representatives, and the court. In addition, all knowledge, skills and abilities required at the lower level of this series.

COMPLIANCE INVESTIGATOR II

EDUCATION AND EXPERIENCE:

I

Bachelor's degree from an accredited college or university with major coursework in criminal justice, political science, psychology, social work, business administration or a closely related field and one year of investigative experience as an investigator in a specified program area where standard investigative techniques were utilized to make program compliance determinations; preparing detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution; making determinations based on evidence collected, applying laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in a law enforcement, investigative, regulatory or compliance setting; OR

II

Graduation from high school or equivalent (GED) and three years of experience as described in option I; OR

III

One year as a Compliance Investigator I in Nevada State service; OR

IV

An equivalent combination of education and experience in which the applicant demonstrated possession of the entry level knowledge, skills and abilities.

Condition of Employment:

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MINIMUM QUALIFICATIONS (cont.)

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES REQUIRED: (These may be acquired on the job and/or needed to perform the work assigned.)

Knowledge of program related rules and regulations as well as state and federal laws. Knowledge of program terminology. Knowledge of where to obtain needed information or documents required to substantiate or negate program violations. Ability to analyze account records and perform reconciliations. Ability to conduct surveillance activities and utilize appropriate equipment. Ability to read and interpret legal documents such as court orders, complaints or judgments. Ability to obtain and serve administrative subpoenas. Ability to work with the public in a high stress environment. Ability to work independently and follow through on assignments with minimal direction. Ability to prioritize assignments with changing workload and deadlines. Ability to recognize emergency situations and take appropriate action. Ability to reason persuasively to convince violators to take corrective action. Ability to discuss program rules and regulations to persons of various backgrounds.

ENTRY KNOWLEDGE, SKILLS AND ABILITIES REQUIRED: (Applicants will be screened for possession of these through written, oral, performance or other evaluation procedures.)

Knowledge of investigative principles and accepted practices. Knowledge of basic accounting and bookkeeping principles. Knowledge of rules of evidence and the rights of citizens. Knowledge of office procedures, methods and equipment.

Ability to analyze program records and reports. Ability to make oral group presentations to provide information and explain procedures, policies and laws pertaining to the program area. Ability to read and interpret contracts and legal documents in relation to program area. Ability to work independently and as part of a team. Ability to review and analyze information received from businesses, complainants and governmental agencies. Ability to conduct interviews both in person and by phone to ascertain factual information. Ability to mediate and negotiate resolution between contending parties. Ability to maintain equanimity in the face of resistance, indifference and hostility. In addition, all other knowledge, skills and abilities required at the lower level of this series.

COMPLIANCE INVESTIGATOR I

EDUCATION AND EXPERIENCE

I

Graduation from an accredited four year college or university with major coursework in criminal justice, political science, psychology, social work business administration or a closely related field;
OR

II

Graduation from high school or equivalent (GED) and two years of experience where standard investigative techniques were utilized to make program compliance determinations; preparing detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Determinations are based on evidence collected; applying laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in law enforcement, investigative, regulatory or compliance setting; OR

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MINIMUM QUALIFICATIONS (cont.)

EDUCATION AND EXPERIENCE: (cont.)

III

An equivalent combination of education and experience in which the applicant demonstrated possession of the entry level knowledge, skills and abilities.

Condition of Employment:

Pursuant to NRS 284.4066, some positions in this class have been identified as affecting public safety. Persons offered employment in this class, in these positions, must first submit to a pre-employment screening test for controlled substances.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES REQUIRED: (These may be acquired on the job and/or needed to perform the work assigned.)

Knowledge of program rules and regulations. General knowledge of state and federal laws pertaining to the program area. Knowledge of agency record keeping practices to obtain needed information for investigations, auditing, and special projects. Knowledge of the functions of other state agencies to refer complainants to the appropriate jurisdiction.

Ability to maintain cooperative working relationships with staff members. Ability to discuss and explain program rules and regulations to persons of various backgrounds. Ability to work independently. Ability to work as part of a team. Ability to complete required forms and documents. Ability to review and analyze complaints for possible program or statutory violations. Ability to conduct interviews to obtain needed information. Ability to detect falsified records.

ENTRY KNOWLEDGE, SKILLS AND ABILITIES REQUIRED: (Applicants will be screened for possession of these through written, oral, performance or other evaluation procedures.)

Knowledge of research techniques and application. General knowledge of the theories of human behavior and psychology. Knowledge of basic investigative techniques.

Ability to write concise, logical grammatically correct reports. Ability to speak on a one-to-one basis using appropriate vocabulary and grammar, to obtain information and to explain policies. Ability to record information quickly and accurately. Ability to convey accurate and precise data in a timely manner within established time frames. Ability to read and interpret statutes related to program area to make compliance determinations. Ability to speak with individuals of various social, cultural, economic and educational backgrounds.

This class specification is used for classification, recruitment and examination purposes. It is not to be considered a substitute for work performance standards for positions assigned to this class.

	<u>11.354</u>	<u>11.358</u>	<u>11.359</u>
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REVISED:	11/15/91PC	11/15/91PC	11/15/91PC